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**PLEASE DELIVER DIRECTLY TO JOHN J. GILLON JR. IN THE OFFICE OF PETITIONS****Fax No.: 571-273-8300****Total No. Pages: 18** including this cover sheet**Message:** Transmitted herewith for filing in the below-identified application is a Supplement to Request to Withdraw the Holding of Abandonment under 37 CFR 1.181(a). If you do not receive all pages or if you have problems receiving transmittal, please call Valerie Sullivan at (503) 595-5300.**In re application of:** Sridhar Srinivasan**Application No.** 10/620,744**Filed:** July 15, 2003**Confirmation No.** 8976**For:** IMPROVEMENTS TO THE SPATIAL-  
DOMAIN LAPPED TRANSFORM IN  
DIGITAL MEDIA COMPRESSION**Examiner:** Anand Shashikant Rao**Art Unit:** 2621**Attorney Reference No.** 3382-64473-01


## CERTIFICATE OF FACSIMILE

I hereby certify that this paper and the documents referred to as being attached or enclosed herewith are being facsimile transmitted to fax number 571-273-8300 on the date shown below.

Attorney or Agent  
for Applicant(s)Date Transmitted December 4, 2007

Enclosed is:

- ☒ Supplement to Request to Withdraw the Holding of Abandonment Under 37 CFR 1.181(a)
- ☒ Exhibit A - Amendment, complete with a signed Certificate of mailing, as filed on July 23, 2007
- ☒ Exhibit B - copy of the postcard sent with the Amendment as stamped by the OIPE
- ☒ It is believed that no fees are required to file the accompanying Request to Withdraw Holding of Abandonment under 37 CFR 1.181(a). If any fees are required, please charge said fees to Deposit Account No. 02-4550.
- ☒ If the Patent and Trademark Office determines that this amendment results in an additional application size fee for pages in excess of 100, please charge the fee to Deposit Account No. 02-4550.

  
Stephen A. Wight  
Registration No. 37,759December 4, 2007  
Datecc: Client  
Docketing

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PATENTAttorney Reference Number 3382-64473-01  
Application Number 10/620,744

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sridhar Srinivasan

Application No. 10/620,744

Filed: July 15, 2003

Confirmation No. 8976

For: IMPROVEMENTS TO THE SPATIAL-  
DOMAIN LAPPED TRANSFORM IN  
DIGITAL MEDIA COMPRESSION

Examiner: Anand Shashikant Rao

Art Unit: 2621

Attorney Reference No. 3382-64473-01

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transmitted to fax number 571-273-8300 on the date shown  
below.Attorney or Agent  
for Applicant(s)Date Transmitted December 4, 2007SUPPLEMENT TO  
REQUEST TO WITHDRAW THE HOLDING OF  
ABANDONMENT UNDER 37 CFR 1.181(A)

This is a Supplement to the Request to Withdraw the Holding of Abandonment Under  
37 CFR 1.181(A) ("Request") filed on August 8, 2007.

Per the Office's request in a telephone status inquiry to the Office of Petitions, Applicants  
hereby supplement the Request with the following items attached herewith:

- a copy of the Amendment, complete with a signed Certificate of mailing, as filed  
on July 23, 2007 (Exhibit A); and
- a copy of the postcard sent with the Amendment as stamped by the OIPE  
(Exhibit B).

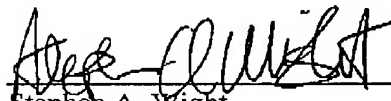
Applicants respectfully request that the holding of abandonment be withdrawn and that  
the application proceed to further examination on the merits.

Respectfully submitted,

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PATENTAttorney Reference Number 3382-64473-01  
Application Number 10/620,744

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sridhar Srinivasan

Application No. 10/620,744

Filed: July 15, 2003

Confirmation No. 8976

For: IMPROVEMENTS TO THE SPATIAL-  
DOMAIN LAPPED TRANSFORM IN  
DIGITAL MEDIA COMPRESSION

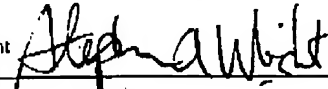
Examiner: Anand Shashikant Rao

Art Unit: 2621

Attorney Reference No. 3382-64473-01

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Date Mailed July 23, 2007

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## AMENDMENT

This responds to the Office action dated January 23, 2007. Please amend the referenced application as follows:

Amendments to the Specification begin on page 2.

Amendments to the Claims are reflected in the listing of claims, which begins on page 3.

Remarks begin on page 11.



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### Amendments to the Specification

Please replace the paragraph beginning at page 2, line 29, with the following rewritten paragraph:

At decoding in the decoder 150, the inverse of these operations (dequantization/entropy decoding 160 and inverse block transform 170-171) are applied on the decoder 150 side, as shown in Fig. 1. While reconstructing the data, the inverse matrix  $M^{-1}$  (inverse transform 170-171) is applied as a multiplier to the transform domain data. When applied to the transform domain data, the inverse transform nearly reconstructs the original time-domain or spatial-domain digital media.

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Attorney Reference Number 3382-64473-01  
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Amendments to the Claims

1. (Currently Amended) A digital media signal processing system comprising:  
a block transform-based codec for compressively encoding transform-coding blocks of a digital media signal to form a compressed representation of the digital media signal at encoding, and to decode blocks from the compressed representation to reconstruct the digital media signal at decoding;  
a pre-processing filter for applying to overlapping blocks that overlap adjacent of the transform-coding block of the digital media signal prior to encoding by the block transform-based codec to effect spatial-domain lapped transform of the digital media signal; and  
a post-processing filter for applying to overlapping blocks that overlap adjacent of the decoded blocks after decoding by the block transform-based codec, wherein the post-processing filter is not an inverse of the pre-processing filter, wherein the pre-processing filter is more relaxed and the post-processing filter is more aggressive relative to filters that are respectively inverses of the other.
2. (Canceled)
3. (Original) The digital media signal processing system of claim 1 wherein the pre-processing filter has eigenvalues that are less than that of a filter that is an inverse of the post-processing filter.
4. (Original) The digital media signal processing system of claim 1 wherein the post-processing filter has eigenvalues that are greater than that of a filter that is an inverse of the pre-processing filter.
5. (Original) The digital media signal processing system of claim 1 wherein the pre-processing filter has eigenvalues and the post-processing filter has eigenvalues, such that a product of the filters' eigenvalues is less than one.
- 6-8. (Canceled)

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9. (Currently Amended) A digital media signal processing system comprising:  
a block transform-based codec for compressively encoding transform-coding blocks of a digital media signal to form a compressed representation of the digital media signal at encoding, and to decode blocks from the compressed representation to reconstruct the digital media signal at decoding, the block transform-based codec having a compression quality metric parameter;  
a set of pairs of pre-processing and post-processing filters, the pre-processing filter for applying to overlapping blocks that overlap adjacent of the transform-coding block of the digital media signal prior to encoding by the block transform-based codec to effect spatial-domain lapped transform of the digital media signal, the post-processing filter for applying to overlapping blocks that overlap adjacent of the decoded blocks after decoding by the block transform-based codec; and  
a switch for selecting a pair of pre-processing and post-processing filters from the set for use with the block transform-based codec according to the compression quality metric parameter.
10. (Currently Amended) The digital media signal processing system of claim 9 wherein the compression quality metric parameter is a quantization parameter.
11. (Currently Amended) The digital media signal processing system of claim 9 wherein the block transform-based codec explicitly encodes a value of the compression quality metric parameter into the compressed representation at encoding.
12. (Currently Amended) The digital media signal processing system of claim 9 wherein the switch operates to enable processing of the spatial-domain lapped transform by a pre-processing and post-processing filter pair when the compression quality metric parameter is indicative of low quality, and disable processing by the filter pair when the compression quality metric parameter is indicative of high quality.
13. (Currently Amended) The digital media signal processing system of claim 9 wherein the switch operates to select among a bank of plural filter pairs having progressively

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more relaxed pre-processing filter and progressively more aggressive post-processing filter as the compression quality metric parameter is indicative of decreasing quality.

14. (Currently Amended) A digital signal encoder device for encoding a digital media signal according to a digital media block-transform-based codec applying a post-processing filter at decoding to overlapping blocks that overlap adjacent decoded transform-coded blocks, comprising:

a forward block transform for applying on a block basis to the digital media signal to transform the blocks into a transform-domain representation for encoding in a compressed representation of the digital media signal; and

a pre-processing filter for applying to overlapping blocks that overlap adjacent of the transform blocks of the digital media signal prior to the forward block transform to effect spatial-domain lapped transform of the digital media signal, wherein the pre-processing filter is not an inverse of the post-processing filter, and wherein the pre-processing filter is more relaxed and the post-processing filter is more aggressive relative to filters that are respectively inverses of the other.

15. (Canceled)

16. (Original) The digital signal encoder device of claim 14 wherein the pre-processing filter has eigenvalues that are less than that of a filter that is an inverse of the post-processing filter.

17. (Original) The digital signal encoder device of claim 14 wherein the pre-processing filter has eigenvalues and the post-processing filter has eigenvalues, such that a product of the filters' eigenvalues is less than one.

18. (Original) The digital signal encoder device of claim 14 further comprising:  
a range reduction operation following the pre-processing filter for reducing a range of coefficient values in the overlapping blocks filtered by the pre-processing filter.

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19. (Original) The digital signal encoder device of claim 18 wherein the range reduction operation is a clipping of the coefficients values to remain within a limited range.

20. (Original) The digital signal encoder device of claim 18 wherein the range reduction operation clips values of the coefficient to an input value range of the forward block transform.

21. (Currently Amended) The digital signal encoder device of claim 14 wherein the block transform-based codec has a compression quality metric parameter, the device comprising:  
a set of pre-processing filters; and  
a switch for selecting the pre-processing filter from the set according to the compression quality metric parameter for use in encoding the digital media signal.

22. (Currently Amended) The digital signal encoder device of claim 21 wherein the compression quality metric parameter is a quantization parameter.

23. (Currently Amended) The digital signal encoder device of claim 21 wherein the block transform-based codec explicitly encodes a value of the compression quality metric parameter into the compressed representation at encoding.

24. (Currently Amended) The digital signal encoder device of claim 21 wherein the switch operates to enable processing of the spatial-domain lapped transform by a pre-processing filter when the compression quality metric parameter is indicative of low quality, and disable processing by the pre-processing filter when the compression quality metric parameter is indicative of high quality.

25. (Currently Amended) The digital signal encoder device of claim 21 wherein the switch operates to select among a bank of plural progressively more relaxed pre-processing filters as the compression quality metric parameter is indicative of decreasing quality.



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26. (Currently Amended) A method of compressively encoding and decoding a digital media signal, comprising:  
at encoding:  
applying a forward block transform to a group of adjoining transform-coding blocks of the digital media signal to produce transform-domain representations of the blocks; and  
applying a pre-processing filter to overlapping blocks that overlap adjacent of the transform-coding blocks of the digital media signal prior to the forward block transform to effect spatial-domain lapped transform of the digital media signal; and  
at decoding:  
applying an inverse block transform to the transform-domain representation of the transform-coding blocks; and  
applying a post-processing filter following the inverse block transform to the overlapping blocks;  
wherein the pre-processing filter is not an inverse of the post-processing filter, and wherein the pre-processing filter is more relaxed and the post-processing filter is more aggressive relative to filters that are respectively inverses of the other.

27. (Canceled)

28. (Original) The method of claim 26 wherein the pre-processing filter has eigenvalues that are less than that of a filter that is an inverse of the post-processing filter.

29. (Original) The method of claim 26 wherein the pre-processing filter has eigenvalues and the post-processing filter has eigenvalues, such that a product of the filters' eigenvalues is less than one.

30. (Original) The method of claim 26 further comprising:  
performing a range reduction operation following the pre-processing filter for reducing a range of coefficient values in the overlapping blocks filtered by the pre-processing filter.

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31. (Original) The method of claim 30 wherein the range reduction operation is a clipping of the coefficients values to remain within a limited range.

32. (Original) The method of claim 30 wherein the range reduction operation clips values of the coefficient to an input value range of the forward block transform.

33. (Currently Amended) The method of claim 26 comprising:  
selecting a pair of the pre-processing filter and the post-processing filter from a set of pre-processing and post-processing filter pairs according to a compression quality metric parameter for use in encoding the digital media signal.

34. (Currently Amended) The method of claim 33 wherein the compression quality metric parameter is a quantization parameter.

35. (Currently Amended) The method of claim 33 further comprising explicitly encoding a value of the compression quality metric parameter into the compressed representation at encoding.

36. (Currently Amended) The method of claim 33 wherein the selecting comprises:  
enabling processing of the spatial-domain lapped transform by a pre-processing filter and post-processing filter pair when the compression quality metric parameter is indicative of low quality; and

disabling processing by the pre-processing filter and the post-processing filter when the compression quality metric parameter is indicative of high quality.

37. (Currently Amended) The method of claim 33 wherein the selecting comprises selecting among a bank of plural filter pairs having progressively more relaxed pre-processing filter and progressively more aggressive post-processing filter as the compression quality metric parameter is indicative of decreasing quality.

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38. (New) A digital media signal decoder for decoding a digital media signaled encoded by a block transform-based codec that operates to compressively encode transform-coding blocks of a digital media signal to form a compressed digital media signal based on a compression quality parameter signaled in the compressed digital media signal, the block transform-based codec applying a pre-processing filter applied on blocks overlapping adjacent of the transform-coding blocks to effect a spatial-domain lapped transform, the digital media signal decoder comprising:

- a block transform-based decoder for decoding the transform-coded blocks;
- a set of post-processing filters for applying to overlapping blocks that overlap adjacent of the decoded blocks after decoding by the block transform-based decoder; and
- a switch for selecting among the post-processing filters from the set for use with the block transform-based codec according to the compression quality parameter.

39. (New) The digital media signal processing system of claim 38 wherein the compression quality parameter is a quantization parameter.

40. (New) The digital media signal processing system of claim 38 wherein the switch operates to enable processing of the spatial-domain lapped transform by a post-processing filter when the compression quality parameter is indicative of low quality, and disable processing by the post-processing filter when the compression quality parameter is indicative of high quality.

41. (New) The digital media signal processing system of claim 38 wherein the switch operates to select among a bank of plural post-processing filters having progressively more relaxed pre-processing filter as the compression quality parameter is indicative of decreasing quality.

42. (New) The digital media signal processing system of claim 38 wherein the set of post-processing filters includes a filter implementing the following matrix:

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$$P_i = \begin{bmatrix} 7 & 0 & 0 & 1 \\ -1 & 7 & 1 & 1 \\ 1 & 1 & 7 & -1 \\ 1 & 0 & 0 & 7 \end{bmatrix} / 8.$$

43. (New) The digital media signal processing system of claim 1 wherein the post-processing filter is a filter implementing the following matrix:

$$P_i = \begin{bmatrix} 7 & 0 & 0 & 1 \\ -1 & 7 & 1 & 1 \\ 1 & 1 & 7 & -1 \\ 1 & 0 & 0 & 7 \end{bmatrix} / 8.$$

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### Remarks

Applicants respectfully request reconsideration in view of the foregoing amendments and the following remarks. With entry of this amendment, claims XXX remain pending.

#### *Patentability of Claims 1-5, 14-20, and 26-32 Over Nguyen and Malvar*

Claims 1-5 have been rejected under 35 U.S.C. § 102(b) as being unpatentable over Nguyen et al., U.S. Patent No. 6,393,156 (hereafter "Nguyen"), in view of Malvar et al., U.S. Patent No. 5,805,739 (hereafter "Malvar"). Applicants respectfully traverse the rejection.

Claim 1, as amended, recites the language: "wherein the pre-processing filter is more relaxed and the post-processing filter is more aggressive relative to filters that are respectively inverses of the other." Claims 3-5 recite language that further clarifies this limitation in mathematical terms. Claim 3 recites, "wherein the pre-processing filter has eigenvalues that are less than that of a filter that is an inverse of the post-processing filter." Claim 4 recites, "wherein the post-processing filter has eigenvalues that are greater than that of a filter that is an inverse of the pre-processing filter." Claim 5 recites, "wherein the pre-processing filter has eigenvalues and the post-processing filter has eigenvalues, such that a product of the filters' eigenvalues is less than one." These limitations are not taught or suggested by the art.

Nguyen describes an image/video enhancement that adds pre-processing and post-processing steps to modify the transforms used in a standard data compression coder to produce overlapping-basis-type transforms. *See*, Nguyen, at Abstract. The Office indicates and Applicants agree that "Nguyen fails to disclose wherein the post-processing filter is not an inverse of the pre-processing filter."

The Office cites to Malvar as allegedly teaching use of a post-processing filter that is not an inverse of the pre-processing filter. Indeed, Malvar at column 7, lines 52-67 first clarifies that the orthogonal pre- and post-filters in the implementation described in the Malvar specification are orthogonal (exact inverses), before speculating that the reconstructor window operator (decoder post-processing filter) may be chosen to differ from an exact inverse of the encoder lapping window operator (pre-processing filter).

Nevertheless, Malvar lacks any teaching or suggestion to design the pre-processing and post-processing filter coefficients, such that the pre-processor is more relaxed and post-processor

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is more aggressive (or alternatively stated relationships of eigenvalues in claims 3-5). In relation to these limitations, the Office cites to the description in Malvar at column 7, lines 20-35 and column 6, lines 5-25. However, neither of these paragraphs relate to pre- and post-processing filters that are not inverses of each other, much less to such filters being designed such that the pre-processing filter is more relaxed and post-processing filter is more aggressive (or more specifically the relationship of eigenvalues of the filters as recited in claims 3-5). First, Malvar clarifies at column 7, lines 56-67 that the implementation previously presented in the specification is an implementation of orthogonal filters, as opposed to which an non-orthogonal implementation where the window operators are not inverses could be used. Based on this statement, it is clear that the preceding paragraphs (column 7, lines 20-35 and column 6, lines 5-25) relate to the implementation of window operators that are orthogonal and exact inverses.

Moreover, a close reading of these paragraphs shows that they do not teach or suggest the recited limitations of the claims. As to the paragraph in Malvar at column 7, lines 20, Malvar merely describes that the window operators achieve different distortion measurements for different sizes of the vector quantizer ( $N$ ). Because the examples compare various sizes of the vector quantizer, the comparisons do not suggest anything about the choice of pre- and post-filter, much less suggest that the pre-filter be more relaxed and post-filter be more aggressive.

As to the paragraph in Malvar at column 6, lines 4-25, the description does mention the word "eigenvalue" at column 6, line 22. However, the description here is in reference to the vector source at the input to the vector quantizer, and not in reference to the eigenvalues of the pre-filter and post-filter. *See*, Malvar at column 6, lines 3-6. Moreover, there is no comment made of the relationship between the eigenvalues of the pre- and post-filters. The description therefore lacks any suggestion that the pre- and post-filters are designed to have the particular eigenvalue relationships as recited in claims 3-5.

For at least these reasons, claims 1 and 3-5 are patentable over the cited art. Claims 14, 16-20, 26, and 27-32 also recite or depend from claims that recite the like limitations and are patentable over the cited art for at least the same reasons.

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*Patentability of Claims 9-13, 21-25 and 33-37 Over Nguyen, in view of Malvar*

Claims 9-13, 21-25 and 33-37 also have been rejected under 35 U.S.C. § 103 as being unpatentable over Nguyen, in view of Malvar. Applicants traverse the rejections.

These claims relate to selecting among pairs of pre-processing/post-processing filters based on a quality metric (the quantization parameter) with which the encoding is done. For example, claim 9 recites: "a switch for selecting a pair of pre-processing and post-processing filters from the set for use with the block transform-based codec according to the compression quality parameter."

Claim 10 recites the additional limitation, "wherein the compression quality parameter is a quantization parameter."

Claim 11 recites the additional limitation, "wherein the block transform-based codec explicitly encodes a value of the compression quality parameter into the compressed representation at encoding."

Claim 12 recites the additional limitation, "wherein the switch operates to enable processing of the spatial-domain lapped transform by a pre-processing and post-processing filter pair when the compression quality parameter is indicative of low quality, and disable processing by the filter pair when the quality metric is indicative of high quality."

Claim 13 recites the additional limitation, "wherein the switch operates to select among a bank of plural filter pairs having progressively more relaxed pre-processing filter and progressively more aggressive post-processing filter as the compression quality parameter is indicative of decreasing quality."

Claims 21-25 and 33-37 recite similar limitations.

These limitations are not taught or suggested by the cited art.

With respect to these limitations, the Office cites to the description in Malvar at column 7, lines 20-36. Applicants respectfully disagree with the Office as to the disclosure of this paragraph. In this paragraph, Malvar describes the overall mean-square distortion that was achieved for various different VQ block sizes (i.e., size of the vector quantizer 32 transform block). See, Malvar at column 7, lines 25-29. Accordingly, it is the transform block size that is varied for the different distortion measurements, not choice of the pre-/post-filter pair. Moreover, the mean-square distortion is a measurement of the resulting distortion measured in the reconstructed output. It is not a compression quality parameter governing the quality of

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coding by the encoder. (See, e.g., Specification at page 10, lines 19 through page 11, line 27.) Most significantly, however, the paragraph simply illustrates the distortion achieved by various vector quantizer implementation examples. There is no teaching or suggestion that an encoder/decoder include a switch to select among pre-/post-filter pairs based on a compression quality parameter (such as, the quantization parameter) that governs the quality at which the encoder is to encode the content.

For at least this reason, these claims are patentable over this art.

#### *New Claims*

New claims 38-41 are supported by the description in the specification at page 10, line 19 through page 11, line 27, and Figure 7. The claims contain limitations distinguishable over the cited art for at least the reasons discussed above for claims 9-13. New claims 42-43 are supported in the specification at page 13, lines 13-21. No new matter is added.

#### *Request for Interview*

If any issues remain, the Examiner is formally requested to contact the undersigned attorney prior to issuance of the next Office Action in order to arrange a telephonic interview. It is believed that a brief discussion of the merits of the present application may expedite prosecution. Applicants submit the foregoing formal Amendment so that the Examiner may fully evaluate Applicants' position, thereby enabling the interview to be more focused.

This request is being submitted under MPEP § 713.01, which indicates that an interview may be arranged in advance by a written request.



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**Conclusion**

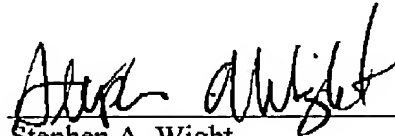
In view of the foregoing amendments and remarks, the application is now in condition for allowance.

Respectfully submitted,

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CLIENT/MATTER NO. 3382-64473-01 ATTY/SEC SAW/290  
 INVENTOR(S): Sparkman  
 APP. NO. 101220744 FILING DATE 7-15-03  
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